



#4/105
DKing
1-17-02

PATENT
Docket No. 299002048410

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231, on November 11, 2001.

Kari Cruz
Kari Cruz

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Yuhzoh TSUDA et al.

Serial No.: 09/904,162

Filing Date: July 11, 2001

For: SEMICONDUCTOR SUBSTRATE,
LIGHT-EMITTING DEVICE, AND
METHOD FOR PRODUCING THE
SAME

Examiner: D. S. Blum

Group Art Unit: 2813

RECEIVED
JUL 19 2001
TC 2030 MAIL ROOM

01/09/2002 H010101 00000138 031952 09904162

01 FC:126 180.00 CH

INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of document nos. 1-2 were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial Number 09/289,575, filed April 9, 1999 and, accordingly, copies are not included herewith. This protocol conforms with 37 C.F.R. § 1.98(d) and M.P.E.P. 609(A)(2). The Examiner is requested to make these documents of record

in the application.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☐ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☒ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of * is enclosed.
 - ☒ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly; no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of * is enclosed.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

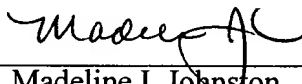
The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is to the best of my knowledge and is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by

third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 299002048410. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: November 26, 2001

Respectfully submitted,

By: 

Madeline I. Johnston
Registration No. 36,174

Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018
Telephone: (650) 813-5840
Facsimile: (650) 494-0792

Form PTO-1449

INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 299002048410

Application Number 09/904,162

Applicant

Y. Tsuda, et al.

Filing Date July 11, 2001

Group Art Unit 2813

Mailing Date November 24, 2001

U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
Duplicate	1.	Sunakawa et al. (1997). "Thick GaN crystal growth with low defect density by hydride vapor phase epitaxy" Ext. Abstract. (The 58th Autumn Meeting) J. Soc. of Appl. Phys. No. 1-266-2p-Q-15
	2.	Tanaka et al. (1997). "Reduced dislocation densities in selectivity-grown nitride materials" Ext. Abstract. (The 58th Autumn Meeting) J. Soc. of Appl. Phys. No. 1-265-2p-Q-14.

Ref #1 on Form 892 paper # 3

RECEIVED
JAN 19 2002
TC 2860 MAIL ROOM

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.